



Practitioner's Docket No. U 013390-0

AF/1714  
Ifw  
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: HITOSHI OTA, et al

Serial No.: 09/832,171

Group No.: 1714

Filed: April 10, 2001

Examiner: CALLIE E. SHOSHO

For: PROCESS FOR THE PREPARATION OF PIGMENT DISPERSION, PIGMENT DISPERSION BY THE SAME, INK JET RECORDING INK COMPRISING THE SAME, AND RECORDING METHOD AND RECORDED MATERIAL USING THE SAME

**RESPONSE UNDER  
37 C.F.R. 1.116  
EXPEDITED PROCEDURE  
EXAMINING GROUP  
1714**

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**AMENDMENT OR RESPONSE AFTER FINAL REJECTION—TRANSMITTAL**

**CERTIFICATION UNDER 37 C.F.R. 1.8(a) and 1.10\***

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**37 C.F.R. 1.8(a)**

**37 C.F.R. 1.10\***

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09/08/2004 EAREGAY1 00000079 09A32171

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110.00 OP

1. Transmitted herewith is an amendment after final rejection (37 C.F.R. 1.116) for this application.

*NOTE: Response to Final Rejection—Avoiding Extension Fees “In patent applications wherein a three month Shortened Statutory Period (SSP) is set for response to a Final Rejection, the response would best be filed within two months of the date of the Office Action. If filed within two months, any Advisory Action mailed after the SSP expires will reset the SSP to expire on the date of the Advisory Action for extension fee purposes, but never more than six months from the date of the Final Rejection.” Notice of Nov. 30, 1990 (1122 O.G. 571 to 591).*

### STATUS

2. The application is qualified as
- ☐ a small entity.
- ☒ other than a small entity.

### EXTENSION OF TERM

*NOTE: As to a Supplemental Amendment filed in response to a final office action, the Notice of December 10, 1985 (1061 O.G. 34-35) states:*

*“If a timely response has been filed after a Final Office Action, an extension of time is required to permit filing and/or entry of a Notice of Appeal or filing and/or entry of an additional amendment after expiration of the shortened statutory period unless the timely-filed response placed the application in condition for allowance. Of course, if a Notice of Appeal has been filed within the shortened statutory period, the period has ceased to run.”*

3. (complete (a) or (b), as applicable)

- (a) ☒ Applicant petitions for an extension of time under 37 C.F.R. 1.136 (fees: 37 C.F.R. 1.17(a)(1)-(4)) for the total number of months checked below:

|                                     | Extension<br>(months) | Fee for other than<br>small entity | Fee for<br>small entity |
|-------------------------------------|-----------------------|------------------------------------|-------------------------|
| <input checked="" type="checkbox"/> | one month             | \$ 110.00                          | \$ 55.00                |
| <input type="checkbox"/>            | two months            | \$ 420.00                          | \$ 210.00               |
| <input type="checkbox"/>            | three months          | \$ 950.00                          | \$ 475.00               |
| <input type="checkbox"/>            | four months           | \$ 1,480.00                        | \$ 740.00               |
| <input type="checkbox"/>            | five months           | \$ 2,010.00                        | \$ 1,005.00             |

Fee: \$ 110.00

If additional extension of time is required, please consider this a petition therefor.

(check and complete the next item, if applicable)

- ☐ An extension for \_\_\_\_\_ months has already been secured and the fee paid therefor of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ \_\_\_\_\_

### OR

- (b) ☐ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

## FEE FOR CLAIMS

4. The fee for claims (37 C.F.R. 1.16(b)-(d)) has been calculated as shown below:

| (Col. 1)  |  | (Col. 2)                              |       | (Col. 3)         |      | SMALL ENTITY        |    | OTHER THAN A<br>SMALL ENTITY |          |
|---|--|---------------------------------------|-------|------------------|------|---------------------|----|------------------------------|----------|
| Claims<br>Remaining<br>After<br>Amendment                               |  | Highest No.<br>Previously<br>Paid For |       | Present<br>Extra |      | Rate                |    | Rate                         |          |
| Total   |  | 46                                    | Minus | 20               | = 26 | x \$ 9 =            | \$ | x \$18 =                     | \$468.00 |
| Indep.  |  | *                                     | Minus | ***              | =    | x \$43 =            | \$ | x \$86 =                     | \$       |
| <input type="checkbox"/> First Presentation of Multiple Dependent Claim |  |                                       |       |                  |      | + \$145 =           |    | + \$290 =                    |          |
|   |  |                                       |       |                  |      | Total<br>Addit. Fee |    | OR<br>Total<br>Addit. Fee    |          |
|   |  |                                       |       |                  |      | \$                  |    | \$468.00                     |          |

\* If the entry in Col. 1 is less than the entry in Col. 2, write "O" in Col. 3,

\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, enter "20".

\*\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest No. Previously Paid For" (Total or Indep.) is the highest number found in the appropriate box in Col. 1 of a prior amendment or the number of claims originally filed.

**WARNING:** See 37 C.F.R. § 1.116.

(complete (c) or (d), as applicable)

(c) ☐ No additional fee is required.

**OR**

(d) ☒ Total additional fee required is \$ 468.00.

## FEE PAYMENT

5. ☒ Attached is a check in the sum of \$ 578.00.
- ☐ Charge Account No. \_\_\_\_\_ the sum of \$ \_\_\_\_\_.
- A duplicate of this transmittal is attached.

## FEE DEFICIENCY

**NOTE:** *Where there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO Finance Branch in order to apply these charges prior to action on the case. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986, (1065 O.G. 31-33).*

6. ☒ If any additional extension and/or fee is required, charge Account No. 12-0425

AND/OR

- ☒ If any additional fee for claims is required, charge Account No. 12-0425

Reg. No.: 30,086

Tel. No.: (212)708-1890

Customer No.: 00140

  
\_\_\_\_\_  
SIGNATURE OF PRACTITIONER

\_\_\_\_\_  
CLIFFORD J. MASS

(type or print name of practitioner)

\_\_\_\_\_  
P.O. Address

\_\_\_\_\_  
c/o Ladas & Parry LLP  
26 West 61<sup>st</sup> Street  
New York, N.Y. 10023